

04-07-04

PTO/SB/21 (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

1

| | |
|--|------------------------|
| Application Number | 09/653,102-Conf. #4063 |
| Filing Date | August 31, 2000 |
| First Named Inventor | Mark A. Nordlicht |
| Art Unit | 3624 |
| Examiner Name | G. R. Akers |
| Total Number of Pages in This Submission | 1 |
| Attorney Docket Number | 04117/000K528-US0 |

ENCLOSURES (Check all that apply)

| | | |
|--|---|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form | <input type="checkbox"/> Drawing(s) | <input type="checkbox"/> After Allowance Communication to Group |
| <input checked="" type="checkbox"/> Fee Attached | <input type="checkbox"/> Licensing-related Papers | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences |
| <input checked="" type="checkbox"/> Amendment/Reply | <input type="checkbox"/> Petition | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final | <input type="checkbox"/> Petition to Convert to a Provisional Application | <input type="checkbox"/> Proprietary Information |
| <input type="checkbox"/> Affidavits/declaration(s) | <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address | <input type="checkbox"/> Status Letter |
| <input checked="" type="checkbox"/> Extension of Time Request | <input type="checkbox"/> Terminal Disclaimer | <input type="checkbox"/> Other Enclosure(s) (please identify below): |
| <input type="checkbox"/> Express Abandonment Request | <input type="checkbox"/> Request for Refund | |
| <input type="checkbox"/> Information Disclosure Statement | <input type="checkbox"/> CD, Number of CD(s) _____ | |
| <input type="checkbox"/> Certified Copy of Priority Document(s) | | |
| <input type="checkbox"/> Response to Missing Parts/ Incomplete Application | | |
| <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | | |

Remarks

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APR 13 2004

GROUP 3600

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

| | |
|-------------------------|---|
| Firm or Individual name | DARBY & DARBY P.C. Louis J. DelJudice - 47,522 |
| Signature | |
| Date | April 5, 2004 |

Express Mail Label No. Dated: _____



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FEE TRANSMITTAL for FY 2004

Effective 10/01/2003, Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$)
 475.00
METHOD OF PAYMENT (check all that apply)
 Check Credit Card Money Order Other None

 Deposit Account:

 Deposit Account Number **04-0100**

 Deposit Account Name **Darby & Darby P.C.**

The Director is authorized to: (check all that apply)

- Charge fee(s) indicated below Credit any overpayments
 Charge any additional fee(s) or any underpayment of fee(s)
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION**1. BASIC FILING FEE****Large Entity** **Small Entity**

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description | Fee Paid |
|----------|----------|----------|----------|------------------------|----------|
| 1001 | 770 | 2001 | 385 | Utility filing fee | |
| 1002 | 340 | 2002 | 170 | Design filing fee | |
| 1003 | 530 | 2003 | 265 | Plant filing fee | |
| 1004 | 770 | 2004 | 385 | Reissue filing fee | |
| 1005 | 160 | 2005 | 80 | Provisional filing fee | |

SUBTOTAL (1) (\$)
 0.00
2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| | | Extra Claims | Fee from below | Fee Paid |
|--------------------|----|--------------|----------------|----------|
| Total Claims | 59 | -59** = | | = 0.00 |
| Independent Claims | 11 | -11** = | | = 0.00 |
| Multiple Dependent | | | | |

Large Entity **Small Entity**

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description |
|----------|----------|----------|----------|--|
| 1202 | 18 | 2202 | 9 | Claims in excess of 20 |
| 1201 | 86 | 2201 | 43 | Independent claims in excess of 3 |
| 1203 | 290 | 2203 | 145 | Multiple dependent claim, if not paid |
| 1204 | 86 | 2204 | 43 | ** Reissue independent claims over original patent |
| 1205 | 18 | 2205 | 9 | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$)
 0.00

**or number previously paid, if greater; For Reissues, see above

Complete if Known

| | |
|----------------------|------------------------|
| Application Number | 09/653,102-Conf. #4063 |
| Filing Date | August 31, 2000 |
| First Named Inventor | Mark A. Nordlicht |
| Examiner Name | G. R. Akers |
| Art Unit | 3624 |
| Attorney Docket No. | 04117/000K528-US0 |

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

| Large Entity | Small Entity | Fee Description | Fee Paid |
|--|--------------|--|----------|
| 1051 | 130 | 2051 65 Surcharge – late filing fee or oath | |
| 1052 | 50 | 2052 25 Surcharge – late provisional filing fee or cover sheet | |
| 1053 | 130 | 1053 130 Non-English specification | |
| 1812 | 2,520 | 1812 2,520 For filing a request for ex parte reexamination | |
| 1804 | 920* | 1804 920* Requesting publication of SIR prior to Examiner action | |
| 1805 | 1,840* | 1805 1,840* Requesting publication of SIR after Examiner action | |
| 1251 | 110 | 2251 55 Extension for reply within first month | |
| 1252 | 420 | 2252 210 Extension for reply within second month | |
| 1253 | 950 | 2253 475 Extension for reply within third month | 475.00 |
| 1254 | 1,480 | 2254 740 Extension for reply within fourth month | |
| 1255 | 2,010 | 2255 1,005 Extension for reply within fifth month | |
| 1401 | 330 | 2401 165 Notice of Appeal | |
| 1402 | 330 | 2402 165 Filing a brief in support of an appeal | |
| 1403 | 290 | 2403 145 Request for oral hearing | |
| 1451 | 1,510 | 1451 1,510 Petition to institute a public use proceeding | |
| 1452 | 110 | 2452 55 Petition to revive – unavoidable | |
| 1453 | 1,330 | 2453 665 Petition to revive - unintentional | |
| 1501 | 1,330 | 2501 665 Utility issue fee (or reissue) | |
| 1502 | 480 | 2502 240 Design issue fee | |
| 1503 | 640 | 2503 320 Plant issue fee | |
| 1460 | 130 | 1460 130 Petitions to the Commissioner | |
| 1807 | 50 | 1807 50 Processing fee under 37 CFR 1.17(q) | |
| 1806 | 180 | 1806 180 Submission of Information Disclosure Stmt | |
| 8021 | 40 | 8021 40 Recording each patent assignment per property (times number of properties) | |
| 1809 | 770 | 2809 385 Filing a submission after final rejection (37 CFR 1.129(a)) | |
| 1810 | 770 | 2810 385 For each additional invention to be examined (37 CFR 1.129(b)) | |
| 1801 | 770 | 2801 385 Request for Continued Examination (RCE) | |
| 1802 | 900 | 1802 900 Request for expedited examination of a design application | |
| Other fee (specify) _____ | | | |
| *Reduced by Basic Filing Fee Paid | | | |
| SUBTOTAL (3) (\$) 475.00 | | | |

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| (Complete if applicable) | | | | |
|--------------------------|-------------------|-----------------------------------|---------------|--------------------------|
| Name (Print/Type) | Louis J. DelJuice | Registration No. (Attorney/Agent) | 47,522 | Telephone (212) 527-7791 |
| Signature | | Date | April 5, 2004 | |

Express Mail Label No. _____ Dated: _____



Application No. (if known): 09/653,102

Attorney Docket No.: 04117/000K528-US0

Certificate of Express Mailing Under 37 CFR 1.10

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail, Airbill No. _____ in an envelope addressed to:

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on April 5, 2004
Date

S. Santini

Signature

S. Santini
Typed or printed name of person signing Certificate

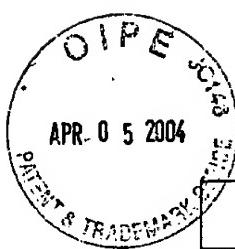
Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

Three Month Request for Extension of Time (1 page);
Amendment in Response to Non-Final Office Action (4 pages);
Amendment Transmittal (1 page);
Transmittal (1 page);
Fee Transmittal (1 page);
Check in the amount of \$475.00; and
Return Postcard.

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APR. 05 2004

AMENDMENT TRANSMITTAL LETTERDocket No.
04117/000K528-US0Application No.
09/653,102-Conf. #4063Filing Date
August 31, 2000Examiner
G. R. AkersArt Unit
3624

Applicant(s): Mark A. Nordlicht

Invention: SYSTEM AND METHOD FOR REAL-TIME OPTIONS TRADING OVER A COMPUTER
NETWORK**TO THE COMMISSIONER FOR PATENTS**

Transmitted herewith is an amendment in the above-identified application.

The fee has been calculated and is transmitted as shown below.

| CLAIMS AS AMENDED | | | | | |
|---|----------------------------------|--------------------------------|-----------------------------|------|--------|
| | Claims Remaining After Amendment | Highest Number Previously Paid | Number Extra Claims Present | Rate | |
| Total Claims | 15 | - 59 = | | x | 0.00 |
| Independent Claims | 9 | - 11 = | | x | 0.00 |
| Multiple Dependent Claims (check if applicable) | | | | | |
| Other fee (please specify): Extension for response within third month | | | | | 475.00 |
| TOTAL ADDITIONAL FEE FOR THIS AMENDMENT: | | | | | 475.00 |

 Large Entity Small Entity No additional fee is required for this amendment. Please charge Deposit Account No. _____ in the amount of \$ _____.
A duplicate copy of this sheet is enclosed. A check in the amount of \$ 475.00 to cover the filing fee is enclosed. Payment by credit card. Form PTO-2038 is attached. The Director is hereby authorized to charge and credit Deposit Account No. 04-0100
as described below. A duplicate copy of this sheet is enclosed. Credit any overpayment. Charge any additional filing or application processing fees required under 37 CFR 1.16 and 1.17.
Louis J. DelJuidice
Attorney Reg. No.: 47,522DARBY & DARBY P.C.
P.O. Box 5257
New York, New York 10150-5257
(212) 527-7769

Dated: April 5, 2004

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